IFW

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/786,895
Filing Date	February 24, 2004
First Named Inventor	Eduard K. de Jong
Art Unit	Unassigned
Examiner Name	Unassigned

Total Number of Pages in This Submission		Attorney Docket Number	SUN-P9178

ENCLOSURES *(check all that apply)*

- [ ] Fee Transmittal Form
  - [ ] Fee Attached
- [ ] Amendment / Reply
  - [ ] After Final
  - [ ] Affidavits/declaration(s)
- [ ] Extension of Time Request
- [ ] Express Abandonment Request
- [x] Information Disclosure Statement
- [ ] Certified Copy of Priority Document(s)
- [ ] Response to Missing Parts/ Incomplete Application
  - [ ] Response to Missing Parts under 37 CFR 1.52 or 1.53

- [ ] Drawing(s)
- [ ] Licensing-related Papers
- [ ] Petition
- [ ] Petition to Convert to a Provisional Application
- [ ] Power of Attorney, Revocation Change of Correspondence Address
- [ ] Terminal Disclaimer
- [ ] Request for Refund
- [ ] CD, Number of CD(s) _____

- [ ] After Allowance Communication to Group
- [ ] Appeal Communication to Board of Appeals and Interferences
- [ ] Appeal Communication to Group **(Appeal Notice, Brief, Reply Brief)**
- [ ] Proprietary Information
- [ ] Status Letter
- [x] Other Enclosure(s) *(please identify below):*
  1449 citing 43 pieces of art

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	John P. Schaub, Reg. No. 42,125
Signature	*[signature]*
Date	May 26, 2004

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Diane Palmer		
Signature	*Diane Palmer*	Date	May 26, 2004

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Eduard K. de Jong

SERIAL NO.: 10/786,895

FILING DATE: February 24, 2004

TITLE: Method and Apparatus for Selecting a Desired Application on a

Smart Card

EXAMINER: Unassigned

ART UNIT: Unassigned

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as First Class
Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450,
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Date: _5-26-04_   Name: _Diane Palmer_
Diane Palmer

COMMISSIONER FOR PATENTS
P.O. Box 1450, ALEXANDRIA, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Each item of information listed in the attached FORM PTO-1449, for which a copy of

each is attached (unless the blanket waiver referred to below applies), may be material to

the examination of the above-identified application and is, therefore, submitted in

compliance with the duty of disclosure defined in 37 CFR §§ 1.56, 1.97 and 1.98. The

Examiner is requested to review, consider and document each such item in the official

record of this application.

Note: If this box ☒ is checked, this case was filed after June 30, 2003 and qualifies for

the blanket waiver of deposit of copies of U.S. Patents and U.S. Patent Application

Publications in accordance with the written waiver of 37 CFR §1.98 (a)(2)(i) dated July

11, 2003. Accordingly, such copies are not attached.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be

construed as a representation that a search has been made, that additional information

material to the examination of this application does not exist, or that any one or more of

these items constitutes prior art.

I

This statement is filed pursuant to:

☒ **37 C.F.R. § 1.97(b).**
This information disclosure statement is filed either:
      (1) within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
      (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;
      (3) before the mailing date of a first office action on the merits; **or**
      (4) before the mailing of a first office action after the filing of a Request for Continued Examination under 37 C.F.R. §1.114, **whichever event occurs last.**

Accordingly, this information disclosure statement requires no fee and no certification.

☐ **37 C.F.R. § 1.97(c).**
This information disclosure statement is filed **after** the period specified in 37 C.F.R. § 1.97(b), but **before** the mailing date of any of the following:
      (1) a final action under 37 C.F.R. § 1.113;
      (2) a notice of allowance under 37 C.F.R. § 1.311; **or**
      (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either:
      (1) the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c); **or**
      (2) a certification according to 37 C.F.R. § 1.97 (e)(1) or (2).

☐ **37 C.F.R. § 1.97(d).**
This information disclosure statement is filed **after** the period specified in 37 C.F.R. § 1.97 (c).

Accordingly, this information disclosure statement requires:
      (1) a certification in accordance with 37 C.F.R. § 1.97(e); **and**
      (2) the fee specified in 37 C.F.R. § 1.17 (p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. **To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.**

II

Fees Due:

☒ No fee is due.

☐ The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) or 37 C.F.R. § 1.97(d) is enclosed (**$180**).

III

Certification:

☒ No certification is necessary.

☐ Pursuant to 37 C.F.R. § 1.97(e)(1), the undersigned hereby certifies:
That each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

☐ Pursuant to 37 C.F.R. § 1.97(e)(2), the undersigned hereby certifies:
No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this information disclosure statement.
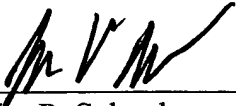
IV

I hereby declare that all statements made herein of my own knowledge are true and that

all statements made on information and belief are believed to be true; and further that

these statements were made with the knowledge that willful false statements and the like

so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18

of the United States Code and that such willful false statements may jeopardize the

validity of the application or any patent issued thereon.

Please charge any additional required fee or credit any overpayment to our deposit

account number 50-1698.

Respectfully submitted,

THELEN REID & PRIEST LLP

Dated: 5/26/04

John P. Schaub

42,125

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SUN 1449 US

Form PTO 1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P9178	Serial No. 10/786,895

Information Disclosure Statement by Applicant	Applicant: Eduard K. de Jong	

(Use several sheets if necessary)	Filed: 02/24/04	Group: Unassigned

U.S. Patent Documents

Init.		Document No.	Date	Name	Class	Subclass	Filing Date
	A	5,481,715	1/2/96	Hamilton, et al.	395	700	12/15/93
	B	5,721,781	2/24/98	Deo; Vinay et al.	705	67	9/13/95
	C	5,742,756	4/21/98	Dillaway et al.	713	200	2/12/96
	D	5,802,519	9/1/98	De Jong et al.	707	100	7/19/96
	E	5,844,218	12/1/98	Kawan et al.	235	380	7/16/96
	F	5,894,550	4/13/99	Thiriet et al.	714	54	1/16/97
	G	5,912,453	6/15/99	Gungl et al.	235	492	9/25/96
	H	6,005,942	12/21/99	Chan et al.	713	187	3/24/98
	I	6,038,551	3/14/00	Barlow et al.	705	41	3/11/96
	J	6,052,690	4/18/00	Waldin, Jr. et al.	717	170	3/25/98
	K	6,094,656	7/25/00	Jang et al.	707	100	4/8/98
	L	6,233,683	5/15/01	Chan et al.	713	172	3/24/98
	M	6,308,317	10/23/01	Wilkinson et al.	717	139	10/24/97
	N	6,418,554	7/9/02	Delo et al.	717	174	9/21/98
	O	6,477,702	11/5/02	Yellin et al.	717	126	11/9/00
	P	6,481,632	11/19/02	Wentker et al.	235	492	10/26/99
	Q	US/2001/0000814	3/3/01	Montgomery et al.	710	10	11/30/00
	R	US/2002/0040936	4/11/02	Wentker et al.	235	492	10/26/99

Examiner	Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.

SUN 1449 FOREIGN

Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P9178	Serial No. 10/786,895
Information Disclosure Statement by Applicant	Applicant: : Eduard K. de Jong	
(Use several sheets if necessary)	Filed: 02/24/04	Group: Unassigned

Foreign Documents

							Translation	
Init.		Document No.	Date	Country	Class	Subclass	Yes	No
	S	0748135	12/96	EP				X
	T	0865217	9/98	EP				X
	U	WO 94/30023	12/94	PCT				X
	V	WO 98/19237	5/98	PCT				X
	W	WO 98/37526	8/98	PCT				X
	X	WO 99/16030	4/99	PCT				X
	Y	WO 00/45262	8/00	PCT				X
Examiner					Date Considered			

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.

SUN 1449 OTHER DOCUMENTS

Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. SUN-P9178	Serial No. 10/786,895
Information Disclosure Statement by Applicant (Use several sheets if necessary)	Applicant: Eduard K. de Jong	
	Filed: 02/24/04	Group: Unassigned

		Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)
	Z	Bernadat, et al., "Java Sandboxes meet Service Guarantees: Secure Partitioning of CPU and Memory", Dec. 14, 1998, The Open Group Research Institute, Cambridge, MA, pp. 1-24.
	A1	Chan, "Infrastructure of Multi-Application Smart Card", http://home.hkstar.com/~alanchan/papers/multiApplicationSmartCard/, July 25, 2002
	B1	Chen, Zhiqun, "Java Card™ Technology for Smart Cards", *Sun Microsystems*, pages 11-16, June, 2000
	C1	Dreifus, H. "Smart Cards; A guide to Building and Managing Smart Card Applications; Copyright 1998; Publisher Robert Ipsen; "Smart Card Development Skills, Methods, and Tools"; pp 159-225
	D1	Gong, et al. "Going Beyond the Sandbox: An Overview of the New Security Architecture in the Java TM Development Kit 1.2", USENIX Symposium on Internet Technologies and Systems – December 8-11 1997, pp. 103-112.
	E1	Hawblitzel, et al., "Implementing Multiple Protection Domains in Java", Technical Report 97-1660, Department of Computer Science, Cornell University.
	F1	Heiss, J. et al. "Java Card™ Technology Grows Up Smart", printed on 4/22/00 at http://java.sum.com/features/1999/01/javacard.html, 5 pages.
	G1	Thomas, David J., "Smart and Smarter: The Emergence of Java Card™ Technology", printed on 4/22/00 from http://java/sun.com/features/1998/04/javacard.html, 8 pages.
	H1	Sun Microsystems, Inc., "How to write a Java Card applet: A developer's guide", printed on 4/22/00 from http://www.javaworld.com.javaworld/jw-07-1999/f_jw-07-javacard_p.htlm, 15 pages.
	I1	Sun Microsystems, Inc. "Smart Cards: A primer", printed on 4/22/00 from http://www.javaworld.com/javaworld/jw-12-1997/f_jw-12-javadev_p.html, 13 pages.
	J1	Sun Microsystems, Inc., "Sun's Java Card™ Technology Extends its Industry Leadership", printed 4/22/00 from http://java.sun.com/pr/1999/11/pr991116-01.htm 1, 5 pages.
	K1	Sun Microsystems, Inc., "Understanding Java Card 2.0", printed on 4/22/00 from http://www.javaworld.com/javaworld/jw-03-1998/f_jw-03-javadev_p.htlm, 12 pages.
	L1	Sun Microsystems, Inc., "Java Card™ Applet Developer's Guide", August 19, 1998, Revision 1.12.
	M1	Sun Microsystems, Inc., Java Card™ 2.0 Application Programming Interfaces, October 13, 1997, Revision 1.0 Final.

Examiner	Date Considered

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SUN 1449 OTHER DOCUMENTS

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(Use several sheets if necessary)	Filed: 02/24/04	Group: Unassigned

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

	N1	Sun Microsystems, Inc., "Java Card™ 2.0 Programming Concepts", October 15, 1997, Revision 1.0 Final.
	O1	Sun Microsystems, Inc., "Java Card™ 2.1 Application Programming Interface", June 7, 1999, Final Revision 1.1.
	P1	"Sun Microsystems Announces JAVACARD API", Business Wire, October 1996
	Q1	Sun Microsystems, Inc., "Java Card 2.2 Application Programming Interface, Revision 1.1 for the 2.2_01 Release

Examiner	Date Considered

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